



# Emergency Solutions Grant: Tips for a Successful Site Visit

Sponsored by  
Division of Housing Stabilization Division, DHCD and HUD  
Facilitated by Cloudburst Consulting

November 28th, 2012

# Speakers:

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Manager

# Resource Advisors:

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# Agenda

- ▶ Introductions
- ▶ Agency wide monitoring preparation (Nicole Fitzgerald)
- ▶ Tips for a successful site visit
- ▶ Feedback/question and answer session

# Submitting Questions during the Webinar

- ▶ Please call in using the telephone number and unique conference ID provided by GotoWebinar
- ▶ Submit questions via the “questions” function in the Go To Webinar dashboard
- ▶ OR use the ‘Raise your hand’ function
- ▶ Questions will be answered by DHCD or Cloudburst to the extent possible during the webinar, **Participation is Encouraged!**
- ▶ 10–15 minutes will also be provided at the end of the webinar for questions
- ▶ Unanswered questions at the end of the webinar will be responded to by DHCD through email and will be made available on the ESG website

# DHCD ESG Website

- ▶ <http://www.mass.gov/hed/housing/stabilization/emergency-solutions-grant.html>

- ▶ Nicole Fitzgerald, Father Bill's & MainSpring



# DHCD Emergency Solutions Grant

## Tips for a Successful Site Visit

# DHCD Emergency Solutions Grant—Monitoring Process

- ▶ We are fully confident that our sub-recipients are adhering to guidelines
- ▶ Monitoring is an ongoing process
- ▶ Site visits are a piece of overall monitoring process
- ▶ A successful program is a result of a good relationship between sub-recipient and DHCD

# ESG Monitoring Site Visit

- ▶ Conducted by Elisa Bresnahan
- ▶ 1–2 visits during contract period, more if necessary
- ▶ Minimum of 1 week notice prior to visit
- ▶ Expect visit to last approximately 3 hours
- ▶ Staff will not need to be present, but availability would be great
- ▶ Please provide quiet office space/desk/table

# ESG Monitoring Site Visit—All Programs

- ▶ Sub-recipients should have in place a process that allows for:
  - Tracking of expended and unexpended funds
  - Allocation of staff time
  - Tracking of admin costs
  - Tracking of sub-contracts
  - Source documentation for all program related expenditures (example, signed time sheets for staff or leases to back up rent payments)

# ESG Monitoring Site Visit—All Programs

- ▶ Will look for documentation of staff time billed to ESG (time sheets)
- ▶ Documentation of service hours reported on the Personnel Summary Report

PERSONNEL SUMMARY REPORT										
Corporate Name:						State Agency Name:				
ABC Shelter						Department of Housing & Community Development				
Program Name:			Program Number:		Service Contract Number:			Billing period:		
ESG - Shelter Support			0		CT OCD8000HFESG121395S0			7/1/12 - 7/31/12		
Program Component/ Position Title	FTE	Employee Name	Service Days	Service Hours	Wages/Salary Amount Paid	Component Total (all employees in component position title)	Less Offsetting Support	Component Net Invoice Amount		
Case Manager	1.00	Betty Doe	7/2-7/31/12	50.00	\$ 800.00	800.00				-
										-

# ESG Monitoring Site Visit—All Programs

- ▶ Will look for documentation of program costs

<b>Occupancy</b>						
Program Facility		\$ 20,000.00	\$ 20,000.00	\$ 500.00	\$ 19,500.00	\$ 500.00
Facility Oper/Maint/Furn					\$ -	\$ -
<b>Total Occupancy</b>		<b>\$ 20,000.00</b>	<b>\$ 20,000.00</b>	<b>\$ 500.00</b>	<b>\$ 19,500.00</b>	<b>\$ 500.00</b>
<b>Other Direct Care/ Program Staff</b>						
Direct Care Specialists					\$ -	\$ -
Prov. Reim/Stipends					\$ -	\$ -
Staff Training					\$ -	\$ -
Staff Mileage/Travel					\$ -	\$ -
Subcontract Dir. Care					\$ -	\$ -
Meals					\$ -	\$ -
Client Transportation					\$ -	\$ -
Incid. Health/Med. Care					\$ -	\$ -
Medicine/Pharmacy					\$ -	\$ -
Client Per. Allowances					\$ -	\$ -
Prov. of Material Good					\$ -	\$ -
Data Processing					\$ -	\$ -
Commerical Resources					\$ -	\$ -
Program Supplies/Mat					\$ -	\$ -
Program Support					\$ -	\$ -
<b>Total Other Direct Care/ Program Staff</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>Direct Admin Expenses</b>						
Program Support					\$ -	\$ -
Other Direct Admin Exps					\$ -	\$ -
<b>Total Direct Admin Exps.</b>		<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>
<b>SUBTOTAL PROGRAM COSTS</b>		<b>\$ 30,000.00</b>	<b>\$ 30,000.00</b>	<b>\$ 1,300.00</b>	<b>\$ 28,700.00</b>	<b>\$ 1,300.00</b>
Agency Admin Support Allocation %		\$ 1,000.00	\$ 1,000.00	\$ 20.00	\$ 980.00	\$ 20.00
<b>PROGRAM TOTAL</b>		<b>\$ 31,000.00</b>	<b>\$ 31,000.00</b>	<b>\$ 1,320.00</b>	<b>\$ 29,680.00</b>	<b>\$ 1,320.00</b>

# ESG Monitoring Site Visit—Case File Review

- ▶ Chosen at random
- ▶ Review 5–10 approved case files
- ▶ Review 2–3 ineligible case files

# ESG Monitoring Site Visit—Case File Review

- ▶ Use the Recordkeeping & Reporting documents as a guide!
  
- ▶ Files should...
  - Be organized
  - Have a checklist
  - Contain clear case notes
  - Contain verification of eligibility requirements
  - Contain completed documents (signatures, dates, completed questions, etc.)
  - Be entered into HMIS



# ESG Monitoring Tool–Kit

- ▶ Homelessness Prevention file review checklist
- ▶ Rapid Re–Housing file review checklist
- ▶ ESG Financial Management and Expenditure checklist
- ▶ All documents will be made available on the Mass.gov ESG website

# Homelessness Prevention File Review Checklist

## DHCD ESG Homelessness Prevention Program

Sub-recipient or sub-contractor name: \_\_\_\_\_

Date of Monitoring Visit: \_\_\_\_\_

Complete each box with Y, N, or N/A	File ID: _____	File ID: _____	File ID: _____	File ID: _____	File ID: _____	File ID: _____	Comments/Follow up items
<b>Initial Eligibility</b>							
1. Consultation/Pre-screening - Does the file document evidence of an initial consultation to determine eligibility for ESG assistance.							
2. Is there a documented Writ of Summary at the time of intake?							
3. Does the file contain documentation of the additional eligibility criteria (1. history of homelessness, 2. history of DV, or 3. household member with diagnosed disability)?							
4. Was an annual income calculation form completed?							
5. Does the file contain documentation of 30 days of _____							

# Rapid Re-Housing File Review Checklist

## DHCD ESG Rapid Re-housing Program

Sub-recipient or sub-contractor name: \_\_\_\_\_

Date of Monitoring Visit: \_\_\_\_\_

Complete each box with Y, N, or N/A	File ID:	File ID:	File ID:	File ID:	File ID:	File ID:	File ID:	Comments/Follow up item
<b>Initial Eligibility</b>								
1. Does the file contain documentation that the individual was homeless in a shelter or a place not meant for habitation at the time of intake?								
2. Does the file document that the household does not have sufficient resources or support networks, e.g. family, friends, faith-based or other social networks, immediately available to allow them to move into housing ('But For' Certification?)								
3. Does the file contain documentation of 30 days of income for each adult in the household?								
4. Does the file contain documentation of								

# ESG Financial Management Checklist

DHCD ESG Financial Management and Expenditure Tracking Checklist	
Sub-recipient or sub-contractor name:	
Date of monitoring visit:	
<p>The sub-recipient and sub-contractors must have policies and procedures in place to ensure the requirements of this part are met and to ensure that ESG funds are used in accordance with the requirements set forth by HUD in the Interim Rule and DHCD in the ESG RFR.</p>	
Financial	
Does the sub-recipient maintain clear records of the sub-contractors funded under their ESG contract, including the amount and type of assistance provided to each sub-contractor?	Yes
	No
Does the sponsor have written procedures or a policy manual(s) that document how transactions are recorded, who has authority to approve financial transactions, and how transactions are classified and tracked?	Yes
	No
If ESG funds are used to pay for staff, is the staff members time tracked accordingly?	Yes
	No
Does a review of transaction records indicate that grant expenditures are eligible	Yes

# HMIS

- ▶ Do the intake documents (application) ask the required questions for successful HMIS data entry?
- ▶ Were (entry, quarterly, exit) assessments completed?
- ▶ Review of submitted APR's, address any concerns that have yet to be discussed

# End of Site Visit

- ▶ Opportunity for discussion
- ▶ Review of any concerns/findings
- ▶ Schedule a follow up site visit, if necessary

# After the Site Visit

- ▶ Expect letter within 30 days
- ▶ Letter will detail any concerns/findings and course of action
- ▶ Generally you will have 30 days to correct any findings
- ▶ If necessary, follow up visits will be completed to review findings

# Tips!!

- ▶ Be prepared!
- ▶ Communicate with DHCD, address any concerns prior to a visit
- ▶ Keep files organized, develop checklist
- ▶ Follow the recordkeeping and reporting documents
- ▶ Use the monitoring checklists and monitor your own files
- ▶ Use monitoring visits as an opportunity for discussion with DHCD
- ▶ Know your goals!



# Timeline for Re-allocation

- ▶ We are monitoring spending and progress towards goals
- ▶ If necessary, we will begin to re-allocate funds in early February from providers unable to reach their Y-T-D performance and expenditure targets to providers who are meeting/exceeding performance measures.
- ▶ If you have concerns about meeting your goals and/or spending your allotted funds, please talk to us now rather than later.

# Feedback Session

- Any questions pertaining to the topics covered
- Challenges/barriers that may affect your site visit

Please use the “Raise Your Hand” function

# Thank You for Attending!

- ▶ Future webinar
  - 12/12 DHCD ESG Updates and Q&A Session
- ▶ Please contact me with ideas for discussion for this webinar

Please email follow up questions to  
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573-1393